

RECORDS MANAGEMENT SERVICES

GLOSSARY

Access Category -- A record series will have one of three access categories: 1. Open to the Public 2. Restricted Access 3. Mixed Access. If some of the records are restricted but not all, then the category would be "Mixed Access." If the record series is open for public inspection it is categorized as "Open to the Public." If it is a series that is restricted to public access such as Adoption Case Files, which are not accessible without a court order, it is categorized as "Restricted Access". Birth certificates less than 100 years old are "Restricted Access." Sometimes a record series may be deposited that has both public and restricted records. For example, a deposit that consists of birth records from 1904-1964 would be designated as "Mixed Access" since birth records more than 100 years old ("Open to the Public") are filed with birth records that are less than 100 years old ("Restricted Access"). Any time a record is designated as "Restricted Access" or "Mixed Access" there must be specific access restrictions noted.

Agency Container Identifier -- This is the agency's identifying number that is shown on the outside of each container or item deposited with the State Archives. There must be no duplicate numbers in the same deposit. Also it is helpful to have the containers numbered sequentially. Include as many records in a single container that will fit comfortably, allowing for easy retrieval but not leaving undue empty space. For oversized volumes or for oversized separate items, include the Volume Number/Letter or Item Number (e.g. Map 2) as the Agency Container Identifier.

Agency Container Type -- Records are usually stored in an "Archives Box" (see Archives Box) but sometimes records are bound in oversized volumes, stored separately as with a large framed poster, stored in an oversized tube as with a rolled up map or blueprint, or stored in a container that fits none of these descriptions. The Archives Box is the preferred method of storage.

Agency Name -- In order to search information by agency and track an agency's history we need to know the official name of the agency when the deposit is sent and its position in the hierarchical organization. An example would be: State Archives and Public Records (unit creating the record is entered first under "Official Name of Your Agency"), Division of Information Technologies (division is entered under "Official Name of Parent Agency 1"), Department of Personnel and Administration (department is entered under "Official Name of Parent Agency 2"). Please be sure to start with the unit creating the record for your agency name as above. There are 5 levels in this hierarchy in case you need them. Please see other examples at: <http://www.colorado.gov/dpa/doi/archives/Eregister/names.htm>.

Agency Schedule Number -- Every E-Register must include the number of the retention schedule that applies to all the records to be deposited at the Archives. Agencies can use their current agency specific Records Disposition/Retention Schedules that are on file with the Colorado State Archives. Every agency should have a copy of their own Disposition/Retention Schedules. Some are posted online at: ("[Records Disposition/Retention Schedules](#)"). The Agency Schedule Number is the number in the top right-hand corner of the Records Disposition/Retention Schedule, also called the "Archives Number". For instance an Agency Schedule Number such as "07-43" would mean that in fiscal year 2007 (July 2006 – June 2007) the agency filed a new or updated retention schedule with the Archives and it was the 43rd retention schedule logged in that fiscal year through the Archives. If the latest schedule you have is more than 5-10 years old you may want to update it. If your agency Disposition/Retention Schedule does not apply to the records being deposited you may be able to use one of the [Records Management Manuals](#) that are on-line. See [Records Management Manual](#).

Agency Type -- The branch of state government (Legislative, Executive, Judicial) or the local designation (County, Municipality, District).

Archives Box -- In order that the State's records may be safely and efficiently stored, the State Archives requires that a certain type of box be used. This box is 12 1/2" wide, 15 3/4" long and 10 1/4" high. The

RECORDS MANAGEMENT SERVICES

box has a hinged top. ([See example.](#)) These boxes may be ordered from Juniper Valley Products, Forms and Publications Center, 4999 Oakland St., Denver, CO 80239. Phone 303-370-2200. The commodity number for ordering is:130-01-59-0010. Tubes in which oversized rolled maps, building plans, etc. are stored must be ordered from a commercial vendor.

Archives Location Identifier -- This identifies the location (the space) in the Archives where the agency container is stored. The Colorado State Archives has approximately 72,000 cubic feet of storage area. When agencies deposit records with us, we give each of their containers a location identifier number. After the containers are shelved, we will send the agency a copy of the E-register with the archives location identifier column filled in.

Closed Record – A file unit or records series containing documents on which action has been completed and to which more documents are not likely to be added.

CCR – Code of Colorado Regulations.

CDPHE – Colorado Department of Public Health and Environment.

CFR – Code of Federal Regulations.

CRS – Colorado Revised Statutes.

Description of Container Contents -- This is a detailed description of each container or item's content. For example, you may wish to list the file folder titles or subjects that are found in one container. If you have files alphabetically arranged by person you may, for example, either list the people individually or describe the container as having something like "A-G" in it. As detailed a list as possible will ease retrieval of the records and will help to avoid "fishing" for records through numerous files or boxes. If the containers are inadequately described we may not accept your deposit. Occasionally, you may have more than one series stored in a box. In this case we require a separate E-register to be done for each series even though they may be stored in the same box

Disposition – Actions taken regarding records no longer needed in current office space, including destruction pursuant to an approved records retention schedule or permanent retention of records in paper or other formats.

Duplicate Copies – Non-record copies of documents kept solely for ease of access and reference.

EFORM XXXX.doc -- One of two necessary files comprising one E-Register. This form compiles information about the agency depositing the records and the record series and containers that they are sending to us for storage. It is a Word form with a .doc extension. As long as information on this form does not change from one deposit to the next, the same EFORM can be used for multiple deposits.

ELIST XXXX.doc or ELIST XXXX.xls -- One of two necessary files comprising one E-Register. This file compiles specific container information about one record series coming over to us in one deposit. It is a table either in a Word or Excel format. If you are sending a container that has records from two record series, you must fill out two E-Registers (one for each record series).

Electronic Register (E-Register) -- The new automated inventory system for records that are currently being deposited with the Colorado State Archives. It will ease the deposit process for agencies and archivists and will provide more efficient search and tracking capabilities for agencies, Archives, and the general public. Deposits in the Archives will now require an E-Register for each record series/sub-series deposited. (see "[Record Series and sub-series](#)") Each E-Register will consist of **two electronic files**. One file (a Word form) compiles agency and record series information. This file will be named "EFORM

RECORDS MANAGEMENT SERVICES

XXXX.doc" where the "X"s indicate a meaningful name to you. The other file may be in a Word or Excel format and will include specific information about the contents of each series container that you are depositing. This file will be named "ELIST XXXX.doc" or "E-ELIST XXXX.xls". We are planning to retroactively enter the register sheets from our legacy Public Records Register (see "[Public Records Register](#)").

Format – The shape, size, style and general makeup of a particular record.

Lister -- **Agency staff member who is preparing the E-Register associated with the deposit**

Multiple Deposits -- Most agencies find that they will deposit the same record series over and over. After the first ELIST is filed, an [ELIST MD](#) is filed instead. The only difference between this form and the ELIST form is that you put the Register ID at the top for reference so that we know which EFORM to relate the deposit to.

NERC – North American Electric Reliability Council.

Permanent Records – Records appraised as having sufficient historical or other value to warrant continued preservation by the school district beyond the time they are needed for administrative, legal or fiscal purposes.

Public Records Register -- The current description of our inventory (approximately 72,000 cubic feet of records) is housed in our Public Records Registers. Up until now agencies were required to fill out a hard-copy Register Sheet that described the records being deposited with the Archives. These hard-copy register sheets are filed in notebooks for reference by agencies, archivists, and the general public (through the archivists). It is this manual system that we are updating with the Electronic Register (see "Electronic Register").

Record Copy – The official and “best” copy of a document retained by the official record custodian.

Record Arrangement -- How the records are arranged in the Agency Containers (see [Agency Container Type](#)). Records may be filed alphabetically ("alpha") by name or topic for instance; numerically, such as by case file number; alphanumeric, such as volumes where there might be Vols. 1, 2, and 3 and Vol. A, B, and C in the same series; chronologically by date; or occasionally by some other filing scheme. Keep in mind that having no arrangement scheme will greatly hinder accessibility.

Records Begin and End Date -- In order to efficiently find records it is helpful to be as specific as possible concerning the date span of records that are grouped together on one ELIST line. This may be records in one container or records in one file folder. For example, birth certificate #s 108765-110842 in Agency Container #1 can show a begin date of 3/04/1927 and an end date of 6/07/1929. If only the year is known it can show a begin date of 1927 and an end date of 1929. Sometimes the beginning and end dates may be the same and sometimes only the beginning or the end date may be known.

The purpose behind putting beginning and ending dates is for easier search and retrieval. A begin or end date is required for non-permanent records so that the retention period can be calculated. If you only know an approximate date, then put the date in the date column and any comments, such as "Circa 1995", in the comments box. **Please do not put anything but a date in the date columns.** Extra characters will be removed during data processing.

Record Description -- Describes or defines the records being deposited with this Register in more detail than just the Record Series Title. It should indicate the purpose or function of the records being deposited and the specific kind of information found in the records. The Record Description is used so that researchers can ascertain whether the records included under this E-Register have the kind of information that they're looking for.

RECORDS MANAGEMENT SERVICES

Record Disposition Action Date -- This is the date that some action should be taken concerning the disposition of non-permanent records. It may be the date that the records can be destroyed or it may be a date on which some decision should be made as to their final disposition. At this point the Archives will communicate with the agency about what to do next with the records. The action date is calculated from the date of the records and the retention period that is designated for a record series in either the records management manual or the agency specific retention schedule. For instance: you may have a box of routine correspondence that has a retention period of "1 year and then destroy". If the last record in a box is dated 2/14/2007, then the action date would be 2/14/2008 at which time the decision would be made to either destroy the box or keep it for a longer period (such as on-going litigation).

Record Disposition Instructions -- If a record series is designated as "Non-Permanent", your agency will have a retention period for the records and possibly special instructions as to their disposition. On the line in the form that asks for "Record Disposition Instructions" you would put the retention period and any other special instructions. An example would be: "Destroy 3 years after case closed. Shred documents due to private information contained in cases." These disposition instructions will be taken into account when the record disposition action date comes up.

Record Disposition/Retention Schedule -- For records that are unique or specific to an agency, a Records Disposition/Retention schedule must be developed in conjunction with the State Archivist. The State Archivist, the State Auditor's Office and the Attorney General's Office sign this retention schedule and it is a legal authorization for the disposition of these agency-specific records. The retention periods for records that are common to most agencies may be found in one of the on-line records management manuals.

Record Format -- The media/format in which the records are stored. It includes File Folders, Bound Documents (as in bound volumes), Unbound Documents (as in paper filings), Microfilm or Microfiche, Photographic Prints, Photographic Negatives, Audio Tapes, Movie Film, Optical Disk, CD/DVD Rom, Electronic (online), Cards, Other. Details about the format should be entered to help us understand more about the format. For instance the microfilm you deposit may be in 16 or 36 millimeter sizes or the electronic information might be in .pdf format.

Records Management Manual -- Currently, we have 4 Records Management Manuals that are on-line: State Government Agencies, including Higher Education at: <http://www.colorado.gov/dpa/doit/archives/rm/rmman/index.htm>;
Municipalities at: <http://www.colorado.gov/dpa/doit/archives/rm/MunicipalRMM/>;
School Districts at: <http://www.colorado.gov/dpa/doit/archives/rm/schools/>;
Special Districts at: <http://www.colorado.gov/dpa/doit/archives/rm/specialdistricts/>.

These manuals describe the retention periods for common records that most agencies generate. For records that are specific or unique to an agency a Records Disposition/Retention Schedule is used. (see [Records Disposition/Retention Schedule](#).)

Records Management Manual Schedule Number -- Agencies can generally find the retention period for records either in one of the on-line records management manuals (see "[Records Management Manuals](#)") or on the agency-specific Records Disposition/Retention Schedules (see "[Records Disposition/Retention Schedules](#)"). In the case of the Records Management Manuals the Schedule Number is the number of the section that describes a record group. For instance, the retention schedule number for the State agency financial record series "Budget Records" is "7" because Schedule 7 relates to Financial Records.

RECORDS MANAGEMENT SERVICES

Records Officer -- The person officially designated as responsible for your agency's records management.

Record Retention Category -- This is either "Permanent" (records that according to your retention schedule are to be kept permanently) or "Non-Permanent" (records that according to your retention schedule may be destroyed at some point.) Please note that Non-Permanent records are no longer accepted by the Archives due to space limitations without the prior approval of the State Archivist.

Record Retention Period -- This is the length of time after the record date that the Archives will retain non-permanent records before contacting the agency to confirm the Record Disposition Instructions. It is listed in the schedule for each record series.

Record Retention Schedule Source -- This is the source of the retention schedule for the records in the E-Register. The source may be:

Your most current agency Records Disposition/Retention Schedule. This is the form that has been previously completed by your agency and approved by the Archives. Agency schedules for the years 2000 and later are in the process of being put on-line from the E-Register web site.

On-line Records Management Manuals/Retention Schedules.

The Colorado Judicial Records Management Manual.

Record Series and Sub-Series -- A "Record Series" is a group of similar records filed together that are arranged according to a filing system and that are related as the result of being created, received, or used in the same activity. Sub-series may also exist. For instance, "Election Records" may be a very large record group that includes numerous sub-series such as "Abstract of Votes" and "Conflicts of Interest." Sub-series may appear with additional categorization such as "Abstract of Votes -- General Election". In another instance, Case or Project Files would be considered one record series even though there may be numerous record types within the file. If, however, a specific record type is taken out of the case files and filed separately, then that particular record type would be a separate series. An example of this would be pulling out Student Transcripts for permanent retention from student files. Even though the Transcripts were originally part of the student file there may be a need to separate them if the other records in the student file have a non-permanent retention period. **It is important to use a single E-Register to describe each Record Series.** The number and title of a record series/sub-series are normally found either in your agency's Records Disposition/Retention Schedule or in the Records Management Manual that your agency uses. If you have any questions about what a record series is please do not hesitate to contact us.

Record Series Number -- The item number or letter that refers to a specific record series either in the Records Management Manual or your agency-specific Records Disposition/Retention Schedule.

Record Series Title -- The descriptive name appearing to the right of the item number that refers to a specific record series either in the Records Management Manual or your agency-specific Records Disposition/Retention Schedule.

Record Sub-Series Title -- The descriptive name for the sub-series underneath the series. For instance the series title may be "Correspondence" while the sub-series title might be "General Correspondence" or "Legal Correspondence". Each sub-series must be described in a separate E-Register.

RECORDS MANAGEMENT SERVICES

Register Sheet -- The hard-copy description of one Record Series deposited at one time in the Colorado State Archives. It will be generated after all the information for a deposit is entered into the database and for the time being will be stored in hard-copy format. It will look similar to the old register listings currently on file at the Archives.

Retention Period – The minimum length of time that a record must be kept.

Retention Schedule - A document approved by the Colorado State Archives providing authority for the minimum retention periods and final disposition of municipal records.

Series – Physical or intellectual groupings of records; file units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use.

USC – United States Code.